

## Part 10 - Grant and Loan Program Records

The most widely known activities in the Department of Education are the disbursement of Federal monies through grant and loan programs. Some programs are administered from the headquarters office, and others from the regional offices. All fiscal activities of grant and loan transactions are documented by the Financial Management Service, headquarters office.

Formula grant programs distribute money according to a formula established by the basic legislation of each program. The formula may be based on population, ethnic distribution, presence of Federal activities, disasters, etc. Certain records pertaining to construction grants programs are accorded longer retention periods due to specific legal requirements to retain written guarantees made by States or institutions.

### ED/RDS

### ITEM

### NO.

### DESCRIPTION OF RECORDS

### DISPOSAL

### AUTHORITY

1. **Certification of Accreditation, and Related Correspondence.** These certifications establish or verify eligibility of institutions for Federal grant or loan programs.

- a. Official File of Certifications of Accreditation.

Disposition: Destroy when obsolete or superseded.

NARA Job No.  
NC-12-75-1  
Item 18a

- b. Related Correspondence.

Disposition: Destroy when 2 years old.

NARA Job No.  
NC-12-75-1  
Item 18b

2. **Certification of Federal Property Ownership and Related Correspondence.** These certifications establish or verify eligibility of an institution or local educational agency for Federal grant or loan programs.

- a. Property Folder (including correspondence).

Disposition: Destroy 3 years after completion of last project relating to property.

NARA Job No.  
NC-12-75-1  
Item 19a

- b. Real Estate Inventories.

## Part 10 - Grant and Loan Program Records

<u>ED/RDS ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSAL AUTHORITY</u>
	<u>Disposition:</u> Destroy when obsolete or superseded.	NARA Job No. NC-12-75-1 Item 19b
c.	<u>Correspondence Not Affecting Federal Status.</u>	
	<u>Disposition:</u> Purge from property folders annually and destroy.	NARA Job No. NC-12-75-1 Item 19c
3.	<b>Grant Administration Records for Formula and Discretionary Grant Programs.</b> Included are progress reports and other correspondence related to grants. This item does not include fiscal records.	
	<u>Disposition:</u>	
a.	Destroy 5 years after final payment to grantee, or after audit, whichever is sooner, except as noted below.	NARA Job No. NC-12-75-1 Item 20a
b.	Retain permanently a sample of significant grants (for example, grants mentioned in ED annual report, or of public note) to be selected by ED and not to exceed 1% of all grants in a given year. Offer to the Archives 5 years after payment or after audit, whichever is sooner.	NARA Job No. NC-12-75-1 Item 20b
4.	<b>Duplicate (Non-Record/Working Copies) of Grant or Loan Administration Records.</b> These are reference copies maintained in offices other than the office with the primary responsibility for signing/awarding and closing-out the grant or loan transaction.	
	<u>Disposition:</u> Destroy when convenient, but no later than one year after final grant payment.	NARA Job No. NC-12-75-1 Item 22
5.	<b>Record Set of Final Products of Grants.</b> This includes, but is not limited to, final published technical reports, textbooks, audiovisual items such as films, slides or tapes.	
	<u>Disposition:</u> <b>PERMANENT.</b> Transfer to the Archives when 10 years	NARA Job No.

## Part 10 - Grant and Loan Program Records

<u>ED/RDS ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSAL AUTHORITY</u>
	old.	NC-12-75-1 Item 23
<b>6.</b>	<b>State Plans.</b> These are plans submitted annually by the various states which describe what the state proposes to do with potential Federal monies. They often recapitulate previous year reports.	
	a. <u>Original ED Copy.</u>	
	<u>Disposition:</u> Dispose after 5 years, or after Program Audit, whichever is sooner.	NARA Job No. NC-12-75-1 Item 24a
	b. <u>State Plans of: Alabama, California, Illinois, Massachusetts, New York, New Mexico, Kansas, and Texas for every fifth fiscal year beginning FY 75.</u>	
	<u>Disposition:</u> <b>PERMANENT.</b> Transfer to the Archives when 10 years old.	NARA Job No. NC-12-75-1 Item 24b
	c. <u>Duplicate Copies.</u>	
	<u>Disposition:</u> Destroy when 2 years old or no longer needed, whichever is sooner.	NARA Job No. NC-12-75-1 Item 24c
<b>7.</b>	<b>Correspondence Relating to the Selection of Panelists (Field Readers for Discretionary Grants).</b>	
	<u>Disposition:</u> Destroy when 5 years old.	NARA Job No. NC-12-75-1 Item 25
<b>8.</b>	<b>Proposals or Plans Not Resulting in Grant Awards (Discretionary Grants).</b>	
	<u>Disposition:</u> Destroy 3 years after rejection or withdrawal.	GRS3 Item 13

## Part 10 - Grant and Loan Program Records

<u>ED/RDS</u> <u>ITEM</u> <u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSAL</u> <u>AUTHORITY</u>
9.	<p><b>Approved Fellowship Administration Records and Payment Records.</b> Most fellowships are administered through institutions of higher education and are similar in many respects to grants.</p> <p><u>Disposition:</u> Disposition is the same as items 3 and 4 above.</p>	NARA Job No. NC-12-75-1 Item 27
10.	<p><b>Unsuccessful, Withdrawn, and Declined Fellowship Program Applications.</b> Including correspondence with institutions, cost estimates, and working files.</p> <p><u>Disposition:</u> Destroy 3 years after rejection or withdrawal.</p>	GRS 3 Item 13
11.	<p><b>Lists or Indices of Individuals Participating in Fellowship Programs.</b></p> <p><u>Disposition:</u> Dispose of after administrative values have ceased or after 10 years, whichever is sooner. <b>Do not store in Federal Centers.</b></p>	NARA Job No. NC-12-75-1 Item 29
12.	<p><b>Certification of Right to Construct, Maintain, and Operate Facilities.</b> Assurances or certification that local educational agency or institution of higher learning has right to construct and maintain, and will continue to operate, facilities to be constructed with Federal money for the period provided by law.</p> <p>a. <u>For construction grants related to higher education facilities.</u></p> <p><u>Disposition:</u> Destroy when 50 years old.</p> <p>b. <u>For construction grants related to areas affected by Federal activities (P.L. 81-815).</u></p> <p><u>Disposition:</u> Destroy when 20 years old.</p> <p>c. <u>For all other construction grants.</u></p>	<p>NARA Job No. NC-12-75-1 Item 30a</p> <p>NARA Job No NC-12-75-1 Item 30b</p>

## Part 10 - Grant and Loan Program Records

<u>ED/RDS</u> <u>ITEM</u> <u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSAL</u> <u>AUTHORITY</u>
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Disposition: Destroy 5 years after final payment or after audit, whichever is sooner.

NARA Job No.  
NC-12-75-1  
Item 30c

**13. Application and Grant Administration Correspondence other than when Described in Item 12, including Construction Project Information and Payment Records.**

a. Applications Determined to be Ineligible.

Disposition: Destroy at the end of the fiscal year for which application was made.

NARA Job No.  
NC-12-75-1  
Item 31a

b. Applications and Correspondence for Projects which are Eligible.

Disposition: Same as Items 3 and 4.

NARA Job No.  
NC-12-75-1  
Item 31b

**NOTE: Student Assistance Program Records.** The distribution of Federal monies or interest payments in support of student loan programs is a major function of ED. There are two categories of loans. First are the basic grant programs in which the Government allocates money directly to institutions of higher learning on the basis of a pre-established formula. The second group is insured loans. The Government is a guarantor of loans from various institutions (banks, universities, state agencies) to students, and underwrites a certain amount of the interest payment on the loans.

**14. Institution Files for Insured Loan Programs.** This group of records documents the participation of institutions (usually banks) in insured loan programs. Included are applications and audits, various administrative reports, and requests for interest payments.

a. Applications and Audits.

## Part 10 - Grant and Loan Program Records

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	<u>Disposition:</u> Destroy 5 years after end of an institution's participation in a program, or after final audit of institution, whichever is sooner.	NARA Job No. NC1-12-82-1 Item 2a
b.	<u>Request for Federal Interest Payment.</u>	
	<u>Disposition:</u> Destroy when 5 years old or after audit, whichever is sooner.	NARA Job No. NC1-12-82-1 Item 2b
c.	All other records or correspondence with the institutions for administration of the program.	
	<u>Disposition:</u> Destroy after 2 years.	NARA Job No. NC1-12-82-1 Item 2c
<b>15.</b>	<b>Institution Fields for Basic Grants.</b> This group of records documents the participation of an institution in the basic grant programs. Included are applications, audits, and annual requests for funds.	
a.	<u>Basic Applications and Audits.</u>	
	<u>Disposition:</u> Destroy 5 years after the end of institutional participation in program, or after final audit of institutional program, whichever is sooner.	NARA Job No. NC-12-75-1 Item 13a
b.	<u>Annual Request for Funds and Payment Records.</u>	
	<u>Disposition:</u> Dispose 5 years after final payment or after audit, whichever is sooner.	NARA Job No. NC-12-75-1 Item 13b
c.	<u>All Other Records or Correspondence with the Institution for the Administration of the Program.</u>	
	<u>Disposition:</u> Destroy after 2 years.	NARA Job No. NC-12-75-1 Item 13c

## Part 10 - Grant and Loan Program Records

<u>ED/RDS ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>DISPOSAL AUTHORITY</u>
<b>16.</b>	<b>Individual Files for Insured Loan Programs.</b> Document participation of individual students in loan program.	
a.	<u>Approved Applications and Certification.</u> ED copy.	
	<u>Disposition:</u> Destroy after microfilming in accordance with GSA Regulations 41 CFR 101-11.507.	NARA Job No. NC-12-75-1 Item 15a
b.	<u>Microfilm of Application.</u>	
	<u>Disposition:</u> Destroy 3 years after repayment or cancellation of loan.	NARA Job No. NC-12-75-1 Item 15c
c.	<u>Unapproved Applications.</u>	
	<u>Disposition:</u> Destroy at the close of fiscal year in which application was made.	NARA Job No. NC-12-75-1 Item 15c
d.	<u>Machine Readable Records.</u>	
	<u>Disposition:</u> Destroy 3 years after repayment or cancellation of loan.	GRS 20 Item 3b(2)
e.	<u>Approved Application Certifications and Related Papers, ED Hard (Paper) Copy.</u>	
	<u>Disposition:</u> Destroy 3 years after repayment or cancellation of loan.	NARA Job No. NC1-12-80-2 Item 15e
<b>17.</b>	<b>Pell Grant Program Records.</b> The Pell Grant Program awards grants to help financially needy students meet the cost of their postsecondary education.	
a.	<u>Student Records.</u> The student records series includes: application, payment voucher (report portion of student aid report (SAR), multiple data entry (CSX, USAF and CSS ACT)), correspondence and related documents.	
	<u>Disposition:</u> Transfer to a Federal Records Center after final payment	NARA Job No.

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	to grantee. Destroy 15 years after final payment or audit, whichever is sooner.	NI-441-92-1 Item 1a
b.	<u>Institution Records.</u> This file series documents the participation of an institution in the Pell Grant Program. Records include: statement of account (SOA), institutional payment summary, original payment voucher, processed payment document, recipient data exchange record, electronic payment voucher, electronic transmittals, student eligibility and validation rosters and progress reports.	
	<u>Disposition:</u> Transfer to a Federal Records Center after final payment to grantee. Destroy 15 years after final payment or audit, whichever is sooner.	NARA Job No. NI-441-92-1 Item 1b
c.	<u>Pell Grant Program History.</u> Documentation of program legislation, budget histories, policy papers, congressional correspondence impacting on program activities, organization charts, and program management studies.	
	<u>Disposition:</u> <b>PERMANENT.</b> Transfer to a Federal Records Center when 3 years old. Transfer to the National Archives and Records Administration when 10 years old.	NARA Job No. NI-441-92-1d
d.	<u>Unsuccessful Pell Grant Applications.</u> Application, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.	
	<u>Disposition:</u> Transfer to a Federal Records Center 120 days after rejection or withdrawal. Destroy 3 years after date of rejection.	NARA Job No. NI-441-92-1 Item 1f
e.	<u>Pell Grant Administration Records.</u> Correspondence and/or subject files relating to routine operations and daily activities in administration of the Pell Grant Program.	
	<u>Disposition:</u> Destroy when 2 years old.	NARA Job No. NI-441-92-1 Item 1g